

12/13/01  
31048 U.S. PTO

12-20-01

A

Docket No. MIT8288CON

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of:

Inventor(s): Andrew Y. Kim & Eugene A. Fitzgerald

For (title): METHOD OF PRODUCING DEVICE QUALITY (Al)InGaP  
ALLOYS ON LATTICE-MISMATCHED SUBSTRATES

jc715 U.S. PTO  
10/023047  
12/13/01

1. **Type of Application**

- ☒ Utility  
☐ Design

2. **Small Entity**

- ☐ Yes  
☒ No

3. **Benefit of Prior U.S. Application(s) Under 35 U.S.C. §120**

This application is a:

- ☐ Divisional  
☒ Continuation  
☐ Continuing Patent Application (CPA) under 37 C.F.R. §1.53(d)  
☐ Continuation-in-part (CIP),

and hereby claims benefit under 35 U.S.C. §120 to the following applications:

SERIAL NUMBER	FILING DATE
09/449,217	11/24/99

4. **Benefit of Non-U.S. Application Under 35 U.S.C. §119(a)-(d)**

This application claims priority under 35 U.S.C. §119(a)-(d) to the following foreign application(s) and/or inventor certificate(s):

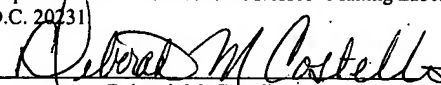
COUNTRY	APPLN. NUMBER	FILING DATE
None		

Certified copy(ies) of the application(s) and/or inventor certificate's from which priority is claimed:

- ☐ is(are) attached;  
☐ will follow.

**CERTIFICATE OF EXPRESS MAIL UNDER 37 C.F.R. §1.10**

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on December 13, 2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV016162111US addressed to the: Assistant Commissioner of Patents, Washington, D.C. 20231

  
Deborah M. Costello

10023047 "121301

5. **Benefit of Provisional Application Under 35 U.S.C. §119(e)**

This application claims priority to the following provisional application(s):

SERIAL NUMBER	FILING DATE
60/109,619	11/24/98

6. **Papers Enclosed Which Are Required For Filing Date Under 37 C.F.R. §1.53**

46 Pages of Specification, including claims, abstract & coversheet

10 Sheets of Drawing

7. **Additional Papers Enclosed**

- ☒ Copy of Declaration and Power of Attorney as filed in parent
- ☒ Preliminary Amendment
- ☒ Information Disclosure Statement (37 CFR 1.98) and Form PTO-1449
- ☒ Copy of Assignment and Form PTO-1595 as filed in parent
- ☒ Petition and Fee For Extension of Time
- ☐ Submission of "Sequence Listing" computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequences.
- ☒ Clean copy of amended page 1 of specification

8. **Application Filing Fee Calculation**

A. ☒ Utility Application

**FEE CALCULATION:**

Total Claims: 54 - 20 = 34 × \$18 = \$612.00

Independent Claims: 1 - 3 = 0 × \$84 = \$

Basic Fee: .....\$740.00

Multiple-Dependent-Claim Fee : .....\$

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Total of the Above Calculations:..... \$1,352.00

- ☐ Amendment canceling extra claims enclosed.
- ☐ Amendment deleting multiple dependencies enclosed.
- ☐ Fee for extra claims is not being paid at this time.

- B. ☐ Design application - \$320 \$
- Application Filing Fee Sub-Total ..... \$
- C. ☐ Less 50% reduction for small entity..... \$676.00
- D. ☐ Non-English Specification - \$130..... \$

**TOTAL FILING FEE ..... \$676.00**

9. **Payment**



Enclosed



Check in the amount of the Total Filing Fee set forth above.



Charge Account No. 19-0079 in the amount of Total Filing Fee set forth above. A duplicate of this transmittal is attached.



Not Enclosed

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§1.16 and 1.17 that may be required by this paper or any paper filed in connection with this Patent Application, or refund any overpayment to our Deposit Order Account No. 19-0079.

Respectfully submitted,



Matthew E. Connors

Reg. No. 33,298

Samuels, Gauthier & Stevens LLP

225 Franklin Street, Suite 3300

Boston, MA. 02110

(617) 426-9180, Ext.112

10023047.121301  
FOET 21 " 40E2001

## PATENTS ONLY

HONORABLE COMMISSIONER OF  
PATENTS AND TRADEMARKS  
WASHINGTON, D.C. 20231

SIR:

PLEASE RECORD THE ATTACHED ORIGINAL DOCUMENT(S) OR COPY(IES) THEREOF.

## 1. NAME OF CONVEYING PARTY(IES)

Andrew Y. Kim &  
Eugene A. Fitzgerald

Additional name(s) of conveying party(ies) attached? No

## 2. NAME(S) AND ADDRESS(ES) OF RECEIVING PARTY(IES)

Massachusetts Institute of Technology  
77 Massachusetts Avenue  
Cambridge, MA 02139

Additional name(s) of receiving party(ies) attached? No

## 3. NATURE OF CONVEYANCE

- ☒ Assignment  
☐ Security Agreement  
☐ Merger  
☐ Change of Name  
☐ Other

Execution Date:

April 3, 2000

## 4. APPLICATION NUMBER(S) OR PATENT NUMBER(S)

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No(s): 09/449,217

B. Patent No(s): \_\_\_\_\_

C. Issue Batch No.: \_\_\_\_\_

D. Issue Date: \_\_\_\_\_

Additional numbers attached? No.

5. NAME AND ADDRESS OF PARTY TO WHOM  
CORRESPONDENCE CONCERNING DOCUMENT  
SHOULD BE DIRECTED:

Matthew E. Connors  
Samuels, Gauthier & Stevens LLP  
225 Franklin Street, Suite 3300  
Boston, Massachusetts 02110  
(617) 426-9180, Extension 112

6. TOTAL NUMBER OF APPLICATIONS  
AND PATENTS INVOLVED: 1

## 7. TOTAL FEE DUE: \$40.00 (Enclosed)

If any additional fee(s) are due, the Commissioner is hereby authorized to  
charge the Deposit Order Account noted in item 8.

## 8. DEPOSIT ACCOUNT NUMBER: 19-0079

## 9. STATEMENT AND SIGNATURE

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Matthew E. Connors  
Name of Person Signing

Signature

Date

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the  
United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to  
the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Date:

4/6/00

Deborah M. Costello

*Deborah M. Costello*  
Deborah M. Costello